

State Response Partner Guide

Introduction

This Response Partner Guide describes how State governments work together with tribal and local governments, private sector/nongovernmental organizations (NGOs) and, as appropriate, the Federal Government to respond to incidents while ensuring the welfare of individuals and families in their jurisdictions. The following sections describe State/tribal roles and responsibilities, response structures and how communities work with key partners to provide an effective, unified response.

U.S. Territories. Within the *Framework*, U.S. territories use the same response structure and mechanisms as State governments for requesting and receiving Federal assistance. Territories pose special response challenges. Working in partnerships with territorial governments, the *Framework* is adapted to meet these unique challenges through preparedness plans and pre-staging of assets.

Territorial governments may receive federally coordinated response within the U.S. possessions, including the insular areas, and within the Federated States of Micronesia and the Republic of the Marshall Islands. Stafford Act assistance is available to Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, which are included in the definition of "State" in the Stafford Act. At present, Stafford Act assistance also is available to the Federated States of Micronesia and the Republic of the Marshall Islands under the compact of free association.

I. State Roles and Responsibilities Overview

Local, tribal, State and Federal governments, NGOs, and the private sector must each exercise their jurisdictional responsibilities and authorities and employ their resources and capabilities jointly to achieve common goals. States and tribes are both responsible for the public safety and well-being of their citizens and provide guidance and leadership during times of crisis. This section describes the general roles and responsibilities of States and tribes.

A primary role of State government in incident management is to supplement and facilitate local efforts before, during and after incidents. The State provides direct and routine assistance to its local jurisdictions through emergency management program development, coordinating routinely in these efforts with Federal preparedness officials. States must be prepared to maintain or accelerate services and to provide new services to local governments when local capabilities fall short of demands.

Under the *Framework*, the term "State" and discussion of the roles and responsibilities of States typically also include cognate responsibilities that apply to U.S. territories and possessions and tribal nations. States are also responsible for requesting Federal emergency assistance for communities and tribes within their area of responsibility. Thus, States help by coordinating Federal assistance to the local level. In response to an incident, the State helps coordinate and integrate resources and applies them to local needs.

Governor. As a State's chief executive, **the Governor is responsible for the public safety and welfare of the people of his or her State.** For the purposes of the *Framework*, any reference to a State Governor also references the chief executive of U.S. territories. The Governor:

- Is responsible for coordinating State resources needed to prevent, prepare for, respond to and recover from emergency incidents of all types.
- In accordance with State law, may be able to make, amend or suspend certain orders or regulations in support of the incident response.
- Communicates to the public and helps people, businesses and organizations cope with the consequences of any type of emergency.
- Commands the State military forces (National Guard and State militias).
- Arranges help from other States through interstate mutual aid and assistance compacts, such as the Emergency Management Assistance Compact.
- Requests Federal assistance including, if appropriate, a Stafford Act Presidential declaration of an emergency or disaster, when it becomes clear that State or interstate mutual aid capabilities will be insufficient or have been exceeded.
- Coordinates with impacted tribal nations within the State and initiates requests for a Stafford Act Presidential emergency or disaster declaration on behalf of an impacted tribe when appropriate.

As noted in *A Governor's Guide to Homeland Security*,¹ before being sworn in, each new Governor should:

- *Avoid vacancies in key homeland security positions such as the State homeland security director or the State emergency manager. A newly elected Governor should work with his or her transition team to identify these key personnel early to minimize vacancies and encourage overlap with the outgoing administration. As soon as a new Governor selects people for these positions, the department or agency they are about to lead should be informed.*
- *Ensure that a staff able to manage a disaster response operation is in place on their inauguration day.*
- *Task their incoming gubernatorial staff, particularly the legal counsel, with reviewing the procedures necessary for them to declare a State emergency and use their emergency powers.*

State Homeland Security Advisor. The State Homeland Security Advisor serves as counsel to the Governor on homeland security issues and **serves as a liaison between the Governor's office, the State homeland security structure, the Department of Homeland Security (DHS)** and other organizations both inside and outside of the State. The advisor often chairs a committee comprised of representatives of relevant State agencies, including public safety, the National Guard, emergency management, public health and others charged with developing preparedness and response strategies.

¹ National Governors Association, *A Governor's Guide to Homeland Security*, 2007, p. 11. Available at <http://www.nga.org/files/pdf/0703govguidehs.pdf>.

Director, State Emergency Management Agency. All States have laws mandating establishment of a State emergency management agency and the emergency operations plan coordinated by that agency. **The Director of the State emergency management agency ensures that the State is prepared to deal with large-scale emergencies and is responsible for coordinating the State response in any major emergency or disaster.** This includes supporting local governments as needed or requested, and coordinating assistance with the Federal Government.

If the community's resources are not adequate, local authorities can seek additional assistance from the county or State emergency manager. The State emergency management agency may dispatch personnel to the scene to assist in the response and recovery effort. If a community requires resources beyond those available of the State, local agencies may request certain types of Federal assistance directly. For example, under the Oil Protection Act or the Comprehensive Environmental Response, Compensation, and Liability Act, local and tribal governments can request assistance directly from the Environmental Protection Agency and/or the U.S. Coast Guard without having to go through the State. However, only the Governor can request a Presidential declaration under the Stafford Act.

Other State Departments and Agencies. State department and agency heads and their staffs develop and train to internal policies and procedures to meet response and recovery needs. They should also participate in interagency training and exercising to develop and maintain the necessary capabilities.

Indian Tribes. The United States recognizes Indian tribes as domestic dependent nations under its protection and recognizes the right of Indian tribes to self-government. As such, tribes are responsible for coordinating tribal resources to address actual or potential incidents. When their resources are exhausted, tribal leaders seek assistance from States or even the Federal Government.

Although Federal law mandates that the Federal Government deal with Indian tribes on a government-to-government basis, a tribe may opt to deal directly with State and local officials. However, in order to obtain Federal assistance, **a State Governor must request a Presidential declaration on behalf of a tribe.**

Tribal Chief Executive Officer. The tribal chief executive officer is responsible for the public safety and welfare of the people of that tribe. As authorized by tribal government, the tribal chief executive:

- Is responsible for coordinating tribal resources needed to prevent, prepare for, respond to and recover from emergency incidents of all types.
- May have powers to amend or suspend certain tribal laws or ordinances in support of emergency response.
- Communicates with the tribal nation, and helps people, businesses and organizations cope with the consequences of any type of disaster or emergency.
- Negotiates mutual aid agreements with other tribes or jurisdictions.
- Can request Federal assistance through the Governor of the State when it becomes clear that the tribe's capabilities will be exceeded.
- Can elect to deal directly with the Federal Government. Although a State Governor must request a Presidential disaster declaration on behalf of a tribe under the

Stafford Act, Federal departments or agencies can work directly with the tribe within existing authorities and resources.

Private Sector and Nongovernmental Organizations

Forming the foundation for the health of the nation's economy, the private sector is a key partner that must be incorporated into State and tribal incident management activities.

The private sector is not only responsible for providing donations during an incident, but they are responsible for most of the critical infrastructure and key resources in the nation. Therefore, engaging with the private sector early in the response will be crucial for restoring utilities within the State and ensuring that key commodities can be delivered.

The term "private sector" refers to many distinct entities, including for-profit businesses (publicly-traded and privately-owned), trade associations and NGOs, not-for-profit enterprises, faith-based organizations and other private, voluntary organizations. While the *Framework* throughout distinguishes fundamentally between the public and private sectors, it also speaks more particularly to contributions of both businesses and the NGO community.

Businesses. Businesses have an invaluable role to play during emergencies. First, they must provide for and protect their employees in the workplace. In addition, emergency managers must work seamlessly with businesses that provide water, power, communication networks, transportation, for-profit medical care, security and numerous other services upon which both emergency response and recovery are particularly dependent.

Many private sector organizations are responsible for operating and maintaining portions of the nation's critical infrastructure. Critical infrastructures include those assets, systems, networks and functions – physical or virtual – so vital to the United States that their incapacitation or destruction would have a debilitating impact on security, national economic security, public health or safety or any combination of those matters. Key resources are publicly or privately controlled resources essential to minimal operation of the economy and the government.² DHS has developed a comprehensive National Infrastructure Protection Plan (NIPP) that is synchronized with this *Framework*.³

Together, government agencies and private sector businesses form a response partnership. This partnership begins at the grassroots level, depending on the local and State resources that are in place, to provide the backbone for disaster management. **During an incident, key private sector business partners should be involved in the local crisis decision-making process or at least have a direct link to key local emergency managers.** Communities cannot effectively respond to, or recover from, emergencies or disasters without strong cooperative relations with private sector businesses.

Essential private sector business responsibilities include:

- Plan for the protection of their facilities, infrastructure and personnel.

² National Infrastructure Protection Plan, 2006, Glossary of Key Terms, is the source for the definitions of critical infrastructure and key resources. These definitions are derived from the provisions of the Homeland Security Act of 2002 and Homeland Security Presidential Directive 7.

³ The goal of the NIPP is to build a safer, more secure and more resilient America by enhancing protection of the nation's critical infrastructures and key resources. See <http://www.dhs.gov/nipp> for additional information. The Critical Infrastructure and Key Resources Support Annex provides detailed guidance regarding incident response implementation of the NIPP, including roles and responsibilities, concept of operations and incident-related actions.

- Plan for responding to and recovering from incidents that impact their own facilities and infrastructure.
- Work with emergency management personnel before an emergency occurs to ascertain what assistance may be necessary and how they can help.
- Develop and exercise emergency plans before an emergency occurs.
- Where appropriate, establish mutual assistance agreements to provide specific response capabilities.
- Provide assistance (including volunteers) to support broader community emergency management during an emergency and throughout the recovery process.

Nongovernmental Organizations. In the world of emergency management, NGOs play enormously important roles before, during and after an emergency. For example, NGOs provide mass sheltering, emergency food supplies, counseling services and other vital support services to promote the recovery of disaster victims. Oftentimes these groups provide specialized services that help individuals with disabilities.

A key feature of NGOs is their inherent independence and commitment to specific sets of interests and values. These interests and values drive the groups' operational priorities and shape the resources they provide. Such NGOs bolster and support government efforts at all levels – from community to State and Federal, for response operations and planning. When planning the allocation of the local community emergency management resources and structures, some community, State and Federal organizations have provided direct assistance to NGOs. These groups collaborate with first responders, governments at all levels and other agencies and organizations.

Examples of NGO and voluntary organization contributions include:

- Train and manage volunteer resources.
- Identify shelter locations and needed supplies.
- Provide critical emergency services to those in need, such as cleaning supplies, clothing, food and shelter or assistance with post-emergency cleanup.
- Identify those whose needs have not been met and help coordinate the provision of assistance.

Some private sector organizations and NGOs are officially designated as support elements to national response capabilities.

- ***The American Red Cross.*** The Red Cross is a supporting agency to the mass care functions of Emergency Support Function #6 to the *Framework*. It takes the lead in integrating the efforts of the national NGOs that provide mass care services during response operations.
- ***National Voluntary Organizations Active in Disasters (NVOAD).*** NVOAD is a consortium of more than 30 recognized national organizations active in disaster relief. Their organizations provide capabilities to support response efforts at all levels. During major incidents, NVOAD typically sends representatives to DHS/Federal Emergency Management Agency (FEMA)'s National Response

Coordination Center to represent the voluntary organizations and assist in response coordination.

- **Citizen Corps.** In recent years, citizen groups have organized to assist public officials in responding to emergencies. Citizen Corps, administered by DHS, is a community-level program that brings government and private-sector groups together and coordinates the emergency preparedness and response activities of community members. Through its network of community, State and tribal councils, Citizen Corps increases community preparedness and response capabilities through public education, outreach, training and volunteer service.

Volunteers and Donations. Responding to disasters and emergencies frequently exceeds the resources of government organizations. Volunteers and donations can support incident response efforts in many ways, and it is essential that governments at all levels plan ahead for incorporation of volunteers and donated goods into their response processes.

The Volunteer and Donations Management Support Annex provides detailed guidance from a national standpoint, and State and local planners should include similar volunteer and donations management provisions in their emergency operations plans.

For major incidents in which foreign governments, individuals or organizations wish to make donations, the U.S. Department of State is responsible for managing such donations. Detailed guidance regarding the process for managing international donations is provided in the International Coordination Support Annex.⁴

II. State Response Structures and Staffing

State Emergency Operations Center (EOCs). State EOCs are the physical location where State, tribal and, often, multi-agency coordination occurs. Every State maintains an EOC configured to expand as necessary to manage events requiring State-level assistance.

The local incident command structure directs on-scene emergency management activities and maintains command and control of on-scene incident operations. State EOCs are activated as necessary to support local EOCs. Therefore, the State EOC is the central location from which off-scene activities supported by the State are coordinated. Chief elected and appointed officials are located at the State EOC, as well as personnel supporting core functions. The key function of State EOC personnel is to ensure that those who are located at the scene have the resources (i.e., personnel, tools and equipment) they need for the response.

State EOC personnel report to the Governor and act as liaisons between local and Federal personnel. When involved, State and tribal officials typically take the lead to communicate public information regarding incidents occurring in their jurisdictions. It is essential that immediately following an incident, the State or tribe ensures that:

Figure 1. State and Emergency Operations Center



⁴ The Framework's Support Annexes are available at the NRF Resource Center, <http://www.fema.gov/NRF>.

- Communication lines with the press are open, questions receive prompt responses and false rumors are refuted before they spread.
- Information about where to receive help is communicated directly to victims and victims' families.

In order to coordinate the release of emergency information and other public affairs functions, a State or tribal government may establish a Joint Information Center (JIC), a physical location from which external affairs professionals from all the organizations involved in an incident work together. The JIC serves as a focal point for coordinated and timely release of incident-related information to the public and the media.

Joint Field Office (JFO)

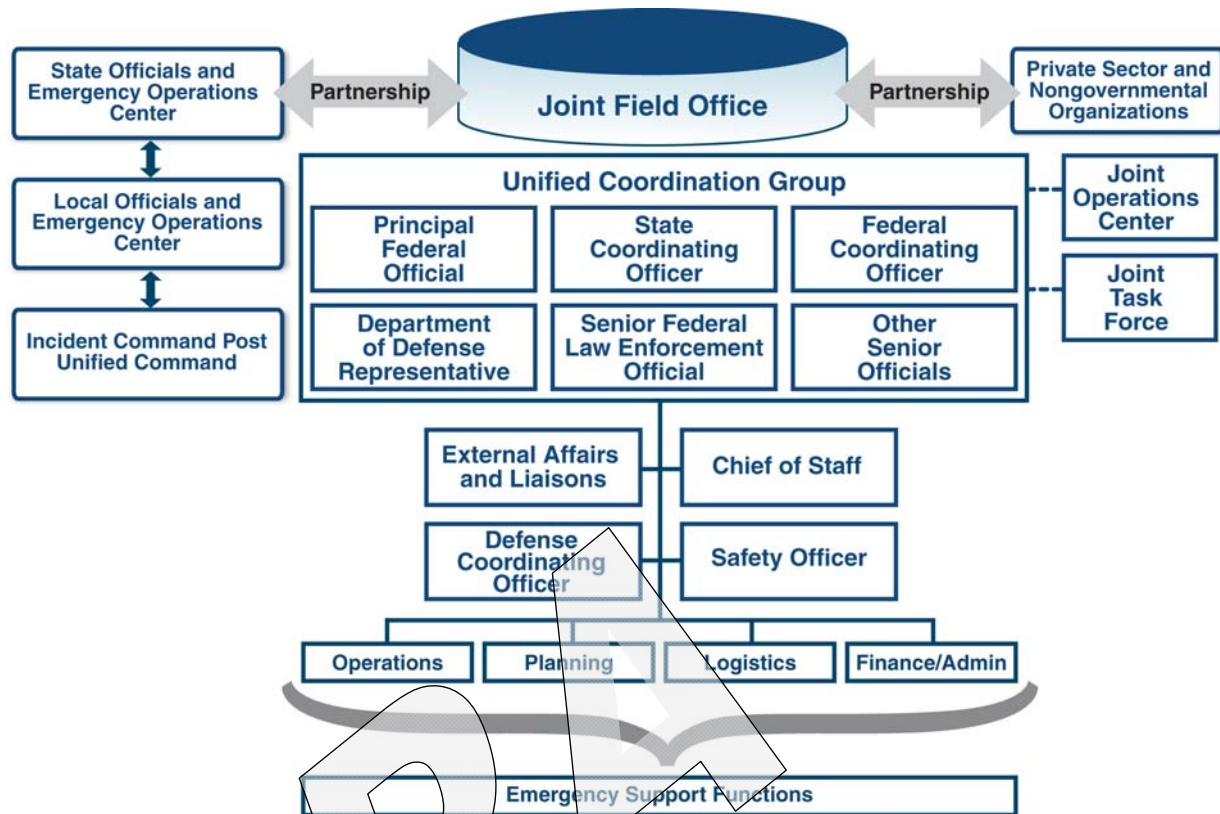
Overall Federal support to the State is coordinated through the JFO. The JFO is the primary Federal incident management field structure. The JFO is a temporary Federal facility that provides a central location for the coordination of Federal, State, tribal and local governments and private sector businesses and NGOs with primary responsibility for response and short-term recovery. The JFO structure is organized, staffed and managed in a manner consistent with *National Incident Management System (NIMS)* principles and is led by the Unified Coordination Group.

Personnel from Federal and State departments and agencies, other jurisdictional entities and private sector businesses and NGOs may be requested to staff various levels of the JFO, depending on the requirements of the incident. When incidents impact the entire nation or multiple States or localities, multiple JFOs may be established. In these situations, coordination will occur following the principles of Unified Area Command. The physical location of such a coordination entity depends on the situation.

Unified Coordination Group. The JFO is led by the Unified Coordination Group, which is comprised of specified senior leaders representing State and Federal interests. The Unified Coordination Group typically consists of the Principal Federal Official, Federal Coordinating Officer, State Coordinating Officer and senior officials from other entities with primary statutory or jurisdictional responsibility and significant operational responsibility for an aspect of an incident (e.g., the Senior Federal Law Enforcement Official if assigned). In the absence of a Principal Federal Official having been appointed by the Secretary of Homeland Security, the Federal Coordinating Officer is the primary Federal official in the Unified Coordination Group.

The composition of the Unified Coordination Group will vary, depending upon the scope and nature of the incident and the assets deployed in support of the affected community.

Figure 2. Joint Field Office



State Coordinating Officer (SCO). The SCO plays a critical role in managing the State response and recovery operations following Stafford Act declarations. The Governor of the affected State appoints the SCO, and lines of authority flow from the Governor to the SCO, following the State's policies and laws. For certain anticipated events in which a Stafford Act declaration is expected, such as an approaching hurricane, the Secretary of Homeland Security or the FEMA Administrator may pre-designate one or more Federal officials to coordinate with the SCO to determine resources and actions that will likely be required, and begin pre-deployment of assets.

The SCO manages the State response and recovery operations following Stafford Act declarations.

The specific roles and responsibilities of the SCO include:

- Serve as the primary representative of the Governor for the affected State or locality with the Regional Response Coordination Center or within the JFO once it is established.
- Work with the Federal Coordinating Officer to formulate State requirements, including those that are beyond State capability, and set priorities for employment of Federal resources provided to the State.
- Ensure coordination of resources provided to the State via mutual aid and assistance compacts.

- Provide a linkage to local government.
- Serve in the Unified Coordination Group in the JFO.

Governor's Authorized Representative. As the complexity of the response dictates, the *Framework* contemplates that the Governor may empower a Governor's Authorized Representative to:

- Execute all necessary documents for disaster assistance on behalf of the State, including certification of applications for public assistance.
- Represent the Governor of the impacted State in the Unified Coordination Group, when required.
- Coordinate and supervise the State disaster assistance program to include serving as its grant administrator.
- Identify, in coordination with the SCO, the State's critical information needs for incorporation into a list of Essential Elements of Information (critical items of specific information required to plan and execute an operation and to support timely, logical decisions).

Key senior Federal officials that typically may be deployed with a Federal incident management team include those discussed below.

Principal Federal Official (PFO). By law and by Presidential directive, the Secretary of Homeland Security is the principal Federal official responsible for coordination of all domestic incidents requiring multi-agency Federal response. **In a catastrophic or unusually complex incident, the Secretary may elect to designate a single individual to serve as his or her primary representative and as the lead Federal official in the field.** Only the most complex incidents will likely call for appointment of a PFO.

When appointed, such an individual serves on-scene as the **Principal Federal Official** for the incident.

The PFO will interface with Federal, State, tribal and local jurisdictional officials regarding the overall Federal incident management strategy and act as the primary Federal spokesperson for coordinated media and public communications.

The PFO will serve as a member of the Unified Coordination Group and provide a primary point of contact and situational awareness locally for the Secretary of Homeland Security.

The *National Response Framework* stipulates that **the same individual will not serve as the Principal Federal Official and the Federal Coordinating Officer (see below) at the same time for the same incident.** When both positions are assigned, circumstances will be such that each will have significant, complementary responsibilities to assist with response to a very demanding event. The Secretary is not restricted to DHS officials when selecting a PFO.

The PFO does not direct or replace the incident command structure established at the incident. Nor does the PFO have line authority over a Federal Coordinating Officer, a Senior Federal Law Enforcement Official, a Department of Defense Joint Task Force

Acting on the Secretary's behalf, the PFO will coordinate the activities of other Federal officials, acting under their own authorities, to ensure consistency of Federal support as well as the overall effectiveness of the Federal incident management.

1 Commander or any State or local official. Other Federal incident management officials
2 retain their authorities as defined in existing statutes and directives. Rather, the PFO
3 promotes cohesion and, as possible, resolves any Federal interagency conflict that may
4 arise. The PFO identifies and presents to the Secretary of Homeland Security any policy
5 issues arising from the particular circumstances that need resolution at a higher level within
6 the Federal Government.

7
8 **Federal Coordinating Officer (FCO).** For Stafford Act events, upon the
9 recommendation of the FEMA Administrator and the Secretary of Homeland Security, the
10 President appoints an FCO.

11
12 **The FCO is a senior FEMA official trained, certified and well experienced in emergency
13 management, and specifically appointed to coordinate Federal support in the response
14 and recovery to emergencies and major
15 disasters.**

**The FCO executes Stafford
Act authorities, including
commitment of FEMA
resources and the authority
to mission assign other
Federal agencies.**

16
17
18
19 If a major disaster or emergency declaration covers a geographic area that spans all or
20 parts of more than one State, the President may decide to appoint a single FCO for the
21 entire incident, with other individuals as needed serving as Deputy FCOs.

22
23 **In all cases, the FCO represents the FEMA Administrator in the field to discharge
24 all FEMA responsibilities for the response and recovery efforts underway.** For
25 Stafford Act events – and if the Secretary has *not* appointed a PFO – the FCO is the primary
26 Federal representative with whom State and local officials interface to determine the most
27 urgent needs and set objectives for an effective response in collaboration with the Unified
28 Coordination Group.

29
30 In such events, the FCO is the focal point of coordination within the Unified Coordination
31 Group, ensuring overall integration of Federal emergency management, resource allocation
32 and seamless integration of Federal activities in support of, and in coordination with, State,
33 tribal and local requirements. When a PFO is not assigned to a Stafford Act response, the
34 FCO serves locally as a primary, although not exclusive, point of contact for Federal
35 interfaces with the media and the private sector.

36 37 **III. Actions**

38
39 The *National Response Framework* includes all levels of government working individually
40 and with each other to respond in a unified manner. It does not describe how States and
41 tribes should respond to specific incidents. Instead, the *Framework* describes how States
42 and tribes, guided by the *NIMS*, should prepare for and engage in incident management
43 activities for all incidents.

44
45 States and tribes have two basic responsibilities: (1) plan, organize, train, equip, exercise
46 and evaluate, in order to strengthen resources and build capabilities in a constant process of
47 preparedness; and (2) conduct an **informed response** to incidents, by deploying the right
48 personnel and resources, with the right training, as part of a single incident management
49 structure, while remaining flexible and adaptable in order to tailor response to the particular
50 needs of the incident.

Prepare

Effective preparedness is essential for successful response.

Six tasks form the backbone of the preparedness cycle. Each is described below.

1. PLAN

Deliberate planning makes it possible to manage the entire life-cycle of a potential crisis, determine capability requirements and help stakeholders learn and practice their roles. Planning includes the collection and analysis of intelligence and information, as well as the development of policies, plans, procedures, mutual aid agreements, strategies and other arrangements to perform missions and tasks. Planning also improves effectiveness by clearly defining required capabilities, shortens the time required to gain control of an incident and facilitates the rapid exchange of information about a situation.

State governments have a responsibility to develop detailed, robust all-hazards emergency operations plans. These plans must have clearly defined leadership roles and responsibilities, and they must clearly articulate the decisions that need to be made, who will make them and when. These plans should include both hazard-specific and all-hazards plans that are tailored to the locale. They should be integrated, operational and incorporate key private sector business and NGO elements.

Plans should include both strategies for no-notice and forewarned evacuations, with particular considerations for assisting special needs (e.g. mobility disabled) populations. Specific procedures and protocols should augment these plans to guide rapid implementation.

State Emergency Operations Plan

The way a State's homeland security apparatus is organized has a significant impact on the level of preparedness and the efficiency of response and recovery efforts. Therefore, development of a State emergency operations plan in support of the deliberative planning component of preparedness ensures that identified hazards, risks, and response measures are addressed before an incident occurs. State emergency operations plans serve three main purposes:

- To facilitate a State's first response to certain emergencies.
- To assist local jurisdictions during emergencies in which local response capabilities are overwhelmed.
- To serve as a liaison with the Federal Government in cases where Federal assistance is necessary and authorized.

The State emergency operations plan establishes the framework within which local plans are created and through which the Federal Government becomes involved in response and recovery operations. As such, the State government acts as the coordinating entity to ensure that all levels of government are able to respond to safeguard the well-being of individuals and families in their jurisdictions. Similarly, tribal emergency operations plans ensure an effective response to incidents primarily affecting tribes.

2. ORGANIZE

Organizing to support response capabilities includes developing an overall organizational structure, strengthening leadership at each level and assembling well-qualified teams of paid and volunteer staff for essential response and recovery tasks. The *NIMS* provides standard command and management structures that apply to incident response. This common system enables responders from different jurisdictions and disciplines to work together better to respond to natural disasters and emergencies, including acts of terrorism.

At the community and State levels, preparedness organizations begin the coordination of emergency management and incident response activities well before an incident. These organizations range from groups of individuals to large entities that represent a wide variety of committees, planning groups and other organizations. Preparedness organizations should meet regularly and coordinate with one another to ensure an appropriate focus on helping jurisdictions meet their preparedness needs. The needs of the jurisdictions involved will dictate how frequently such organizations must conduct their business, as well as how they are structured.

Jurisdictions should conduct a thorough inventory of their resources and conform to *NIMS* organizational and management principles by:

- Identifying the resources they possess and standardizing those resources in accordance with *NIMS* resource typing requirements.
- Ensuring interoperability of resources by purchasing only those resources that meet commonly accepted standards for performance.
- Ensuring that they have sufficient personnel who are trained in incident management principles and organized into standardized teams.

3. TRAIN

Building essential response capabilities nationwide requires a systematic program to train individual teams and organizations to meet a common baseline of performance and certification standards.

Individuals and teams, whether paid or volunteer, should meet relevant local, State, Federal or professional qualifications, certifications or performance standards. Professionalism and experience is the foundation upon which successful incident response is built. Rigorous, ongoing training is thus imperative. Content and methods of training must comply with applicable standards and produce required skills and measurable proficiency. FEMA and other organizations offer incident response and incident management training in online and classroom formats.

4. EQUIP

Community, tribal, State and Federal jurisdictions need to establish a common understanding of the capabilities of distinct types of emergency response equipment. This facilitates planning before an incident, and rapid scaling and flexibility in meeting the needs of an incident. A critical component of preparedness is the acquisition of equipment that will perform to established standards, including the capability to be interoperable with equipment used by other jurisdictions and/or participating organizations.

Effective preparedness requires jurisdictions to identify and have strategies to obtain and deploy major equipment, supplies, facilities and systems in sufficient quantities to perform assigned missions and tasks. The mobilization, tracking, use, sustaining and demobilization of physical and human resources requires an effective logistics system. That system must support both the residents in need and the teams that are responding to the incident. As noted previously, *NIMS*-compliant resource typing provides a uniform method of sharing commonly understood resources when needed in a major incident.

5. EXERCISE

Exercises provide opportunities to test capabilities and improve proficiency in a risk-free environment. Exercises assess and validate policies, plans and procedures. They also clarify and familiarize personnel with roles and responsibilities. Well-designed exercises improve interagency coordination and communications, highlight capability gaps and identify opportunities for improvement. Exercises should:

- Include multi-disciplinary, multi-jurisdictional incidents.
- Require interactions with private-sector and nongovernmental organizations.
- Cover all aspects of preparedness plans, particularly the processes and procedures for activating local, intrastate or interstate mutual aid and assistance agreements.
- Contain a mechanism for incorporating corrective actions.

Community, tribal and State jurisdictions should exercise their own response capabilities and evaluate their abilities to perform expected responsibilities and tasks. This is a basic responsibility of all entities and is distinct from participation in other interagency exercise programs.

DHS has responsibility for coordinating the National Exercise Program, which incorporates a requirement that Federal departments and agencies support an exercise program that is tied to the 15 National Planning Scenarios contained in the *National Preparedness Guidelines*. This five-year exercise schedule is augmented by other exercises that link Federal, State and local planners and executives, such as the TOPOFF series and State-centered exercises on pandemic influenza supported by the Secretary of Health and Human Services. State and local participation is a feature of most of the work on Federally-sponsored exercises. Various DHS grants are available to support this training and exercise work.

6. EVALUATE AND IMPROVE

Evaluation and iterative process improvement are cornerstones of effective preparedness exercises. Upon concluding an exercise, jurisdictions should evaluate performance against relevant capability objectives, identify deficits and institute corrective action plans. Improvement planning should develop specific recommendations for changes in practice, timelines for implementation and assignments for completion.

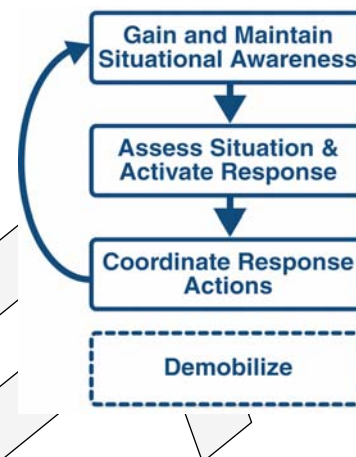
All community, tribal and State entities should institute a corrective action program to evaluate exercise participation and incident response, capture lessons learned and make improvements in their response capabilities. An active corrective action program will provide a method and define roles and responsibilities for identification, prioritization, assignment, monitoring and reporting of corrective actions arising from exercises and real world events. The National Exercise Program contains a corrective action program system, a web-based tool that enables Federal, State and local emergency response and homeland security officials to implement the corrective action program process. In this way, the continuous cycle of preparedness yields enhancements to community preparedness.

RESPOND

Once an incident occurs, priorities shift – from building capabilities to employing resources to preserve life, property, the environment and the social, economic and political structure of the community. Depending on the size, scope and magnitude of an incident, communities, States and, in some cases, the Federal Government will be called to action.

Four key response actions typically occur in support of an emergency response mobilization: (1) gain and maintain situational awareness; (2) assess the situation and activate key resources and capabilities; (3) effectively coordinate response actions; then, as the situation permits, (4) demobilize. These response actions are illustrated in Figure 3, and their core elements are described below.

Figure 3. The Response Process



1. GAIN AND MAINTAIN SITUATIONAL AWARENESS

Baseline Priorities. Situational awareness requires continuous monitoring of relevant sources of information regarding actual incidents and developing hazards. The scope and type of monitoring varies based on the type of incidents being evaluated and needed reporting thresholds. Critical information is passed through pre-established reporting channels according to established security protocols. Priorities include:

- **Providing the right information at the right time.** For an effective national response, jurisdictions must continuously refine the ability to assess the situation as an incident unfolds and rapidly provide accurate information to decision-makers in a user-friendly manner. It is essential that all levels of government, the private sector and NGOs share information in order to develop a common operating picture and synchronize their response operations and resources.
- **Improving and integrating national reporting.** Situational awareness must start at the incident scene and be effectively communicated to local governments, the State and the Federal Government. Jurisdictions must integrate existing reporting systems to develop an information and knowledge management system that fulfills national information requirements.
- **Linking operations centers and tapping subject-matter experts.** States, communities and the Federal Government have a wide range of operations centers that monitor events and provide situational awareness, including local and State EOCs, DHS's National Operations Center and other Federal operations centers. Based on their roles and responsibilities, operations centers should identify information requirements, establish reporting thresholds and be familiar with the expectations of decision-makers and partners. Situational awareness is greatly improved when experienced subject-matter experts identify critical elements of information and use them to form a common operating picture.

Actions. Incident reporting and documentation procedures should be standardized to enhance situational awareness and provide emergency management/response personnel with ready access to critical information. Situation reports should contain verified information and explicit details (who, what, where and how) related to the incident. Status reports, which may be contained in situation reports, relay specific information about resources. Based on an analysis of the threats, jurisdictions issue warnings to the public and provide emergency public information.

Community, State and tribal governments can address the inherent challenges in establishing successful information-sharing networks by:

- Creating intelligence fusion centers that bring together into one central location law enforcement, intelligence, emergency management, public health and other agencies to evaluate together available information and intelligence.
- Utilizing national standards for information sharing that foster the ability of systems to exchange data.
- Joining national efforts that encourage intelligence and information sharing and include regional, multistate and Federal systems.
- Reporting incident information to DHS using established mechanisms. Terrorist threats and actual incidents with a potential or actual terrorist link should immediately be reported to a local or regional Joint Terrorism Task Force.

2. ASSESS THE SITUATION, ACTIVATE RESOURCES AND CAPABILITIES

Baseline Priorities. When an incident or potential incident occurs, responders assess the situation, identify and prioritize requirements and activate available resources and capabilities to save lives, protect property and meet basic human needs. In most cases, this includes development of an **Incident Action Plan** by the Incident Command in the field and support plans by the appropriate community, State and/or Federal Government entities. Key activities include:

- **Activating and mobilizing people, resources and capabilities.** Across all levels, initial actions may include activation of people and teams and establishment of incident management and response structures to organize and coordinate an effective response. The resources and capabilities deployed and the activation of supporting incident management structures should be directly related to size, scope, nature and complexity of the incident. All responders should maintain and regularly exercise notification systems and protocols.
- **Requesting additional resources and capabilities.** Responders may also request additional resources and/or capabilities from the surrounding area, or, if the needs exceed local resources, from other communities, the State, nearby States or the Federal Government. For all incidents, especially large-scale national incidents, it is essential to prioritize and clearly communicate incident requirements so that resources can be efficiently matched, typed and mobilized to support operations.
- **Pre-identifying needs and pre-positioning resources.** When planning for heightened threats or in anticipation of large-scale incidents, communities, States or the Federal Government should anticipate resources and capabilities that may be needed. Based on asset availability, resources should be pre-positioned and response teams and other support resources may be placed on alert or deployed to a

staging area. Mobilization and deployment will be most effective when supported by planning that includes pre-scripted mission assignments, advance readiness contracting and pre-positioned capabilities.

Actions. In the event of, or in anticipation of, an incident requiring a coordinated response, community and State jurisdictions should:

- Identify staff for deployment to the **Emergency Operations Center**. These organizations have standard procedures and call-down lists and should notify department and agency points of contact.
- Work with emergency managers to take the necessary steps to provide for continuity of operations.
- Activate **Incident Management Teams (IMTs)** in accordance with *NIMS*. IMTs are incident command organizations made up of the Command and General Staff members and appropriate functional units of an Incident Command System organization. The level of training and experience of the IMT members, coupled with the identified formal response requirements and responsibilities of the IMT, are factors in determining the "type," or level, of IMT.
- Activate **Specialized Response Teams**. Jurisdictions may have specialized teams including search and rescue teams, crime scene investigators, public works teams, hazardous materials response teams, public health specialists or veterinarians.

3. COORDINATE RESPONSE ACTIONS

Baseline Priorities. Coordination of response activities occurs through incident management and response structures based on pre-assigned roles, responsibilities and reporting protocols. Critical information is provided up through pre-established reporting chains to decision-makers. The efficiency and effectiveness of response and supporting organizations will be enhanced by full application of the *NIMS* with its common principles, structures and coordinating processes. Specific priorities include:

- ***Community, tribal and State governments are responsible for the management of their emergency functions.*** Such management includes mobilizing the National Guard, pre-positioning assets and supporting its communities. Community, tribal and State governments, in conjunction with their voluntary organization partners, are also responsible for implementing plans to ensure the effective management of the flow of volunteers and goods in the affected area.
- ***Coordinating initial actions.*** Initial actions are coordinated through the on-scene Incident Command and may include: immediate law enforcement, fire and emergency medical services; emergency flood fighting; evacuations; transportation system detours; and emergency information for the public. As the incident unfolds, the on-scene Incident Command updates Incident Action Plans and revises courses of action based on changing circumstances.
- ***Coordinating requests for additional support.*** If additional resources and capabilities are required, the on-scene Incident Command requests the needed support. Additional incident management and response structures and personnel are activated to support the response. In large-scale responses, it is critical that personnel understand roles, structures, protocols and concepts to ensure clear,

coordinated actions. In most cases, resources and capabilities are activated through Emergency Support Function teams and integrated into the *NIMS* structure at the appropriate levels.

- **Identifying and integrating resources and capabilities.** Resources and capabilities must be marshaled, deployed, received, staged and efficiently integrated into ongoing operations. For large, complex incidents, this may include working with a diverse array of organizations, ranging from multiple private-sector companies and NGOs through pre-arranged agreements and contracts. Large-scale events may also require sophisticated coordination and time-phased deployment of resources through an integrated logistics system. Pre-arranged capabilities, response teams and adaptive force packages may be deployed. Systems and venues must be established to receive, stage, track and integrate resources into ongoing operations. Incident Command should continually assess operations and scale and adapt existing plans to meet evolving circumstances.
- **Coordinating communications.** Effective public communication strategies are essential following an incident. Incident Command may elect to establish a Joint Information Center, which would be responsible for coordinating public information across community, State, Federal and tribal governments, as well as with the private sector and NGOs. By developing media lists, contact information for relevant stakeholders and coordinated news releases, the JIC facilitates dissemination of accurate, consistent, accessible and timely public information to numerous audiences.

Actions. Specific response action will vary depending upon the scope and nature of the incident. Response actions are based on the shared objectives established by the Incident Command and Unified Coordination Group. Response activities include, but are not limited to:

- Warning the public and providing emergency public information.
- Implementing evacuation plans that include provisions for special needs populations and companion animals.
- Sheltering evacuees in pre-identified shelters and providing food, water, ice and other necessities.
- Performing search and rescue.
- Treating the injured.
- Providing law enforcement and investigation.
- Controlling hazards (extinguishing fires, containing hazardous materials spills, etc.).
- Providing consistent, timely and accurate public information.

Neighboring communities play a key role in providing support through a framework of mutual aid and assistance agreements. These agreements are formal documents that identify the resources that communities are willing to share during an incident. Such agreements should include:

- Definitions of key terms used in the agreement.

- Roles and responsibilities of individual parties.
- Procedures for requesting and providing assistance.
- Procedures, authorities and rules for allocation and reimbursement of costs.
- Notification procedures.
- Protocols for interoperable communications.
- Relationships with other agreements among jurisdictions.
- Treatment of workers' compensation, liability and immunity.
- Recognition of qualifications and certifications.

While States typically act as the conduit between the Federal and local governments when Federal assistance is supporting a local jurisdiction, there are certain instances in which Federal partners may play an active role in a unified command. For example, wildfires on Federal land or oil spills are activities for which certain Federal departments or agencies may have authority to respond under their own statutes and jurisdiction.

Within communities, *NIMS* principles, including unified command, are applied to integrate response plans and resources across jurisdictions and departments and with private sector businesses and NGOs. **States provide the vast majority of the external assistance to communities.** The State is the gateway to several government programs that help communities prepare. When an incident grows beyond the capability of a community, and responders cannot meet the needs with mutual aid and assistance resources, the community contacts the State. Upon receiving a request for assistance from a local government, immediate State response activities may include:

- Coordinating warnings and public information through the activation of the State's public communications strategy and the establishment of a JIC.
- Distributing supplies stockpiled to meet the emergency.
- Providing needed technical assistance and support to meet the response and recovery needs of individuals and families.
- The Governor's suspending existing statutes, rules, ordinances and orders for the duration of this emergency, if necessary, to ensure timely performance of disaster response functions.
- Implementing State donations management plans and coordinating with NGOs and the private sector.
- Ordering the evacuation of persons from any portions of the State threatened by the disaster, giving consideration to the requirements of special needs populations and those with companion or service animals.

In addition to these actions, the Governor may elect to activate the National Guard. **The National Guard is a crucial State resource during emergencies and disasters, with expertise in communications, logistics, search and rescue and decontamination.** The State Governor commands the State military forces (National Guard, when in State Active Duty or Title 32 status, and State militias) and can deploy these assets in response to

1 an incident. National Guard forces employed under State Active Duty or Title 32 status are
2 providing support to the Governor of their State and are not part of Federal military
3 response efforts.

4
5 **When the National Guard is deployed in State Active Duty status, the Governor**
6 **retains command and control of forces inside his or her State or territory.** State
7 Active Duty is based on State statute and policy, and the State is responsible for all costs
8 relating to the deployment. Title 32 Full-Time National Guard Duty refers to Federal training
9 or other duty, other than inactive duty, performed by a member of the National Guard.
10 Title 32 is not subject to *posse comitatus* restrictions and allows the Governor, with the
11 approval of the President or the Secretary of Defense, to order a Guard member to duty to:

- 12
13 • Perform training and other operational activities.
- 14
15 • Undertake activities for the military protection of the territory or domestic population
16 of the United States, or of the infrastructure or other assets of the United States
17 determined to be critical to national security, from a threat or aggression against the
18 United States.
- 19
20 • Conduct homeland defense activities that the Secretary of Defense determines to be
21 necessary and appropriate for participation by the National Guard units or members.
- 22

23 **In rare circumstances, the President would federalize National Guard forces for**
24 **domestic duties under Title 10.** In such cases, the forces are no longer under the
25 command of the Governor. Instead, the Department of Defense assumes full responsibility
26 for all aspects of the deployment, including command and control over National Guard
27 forces.

28
29 **State-to-State Assistance.** If additional resources are required, the State may
30 **request assistance from other States by using interstate mutual aid and assistance**
31 **agreements** such as the **Emergency Management Assistance Compact (EMAC).**
32 Administered by the National Emergency Management Association, EMAC is a
33 congressionally ratified organization that provides form and structure to the interstate
34 mutual aid and assistance process. Through EMAC, a State can request and receive
35 assistance from other member States.⁵ Such State-to-State assistance may include:

- 36
37 • Invoking and administering a Statewide Mutual Aid Agreement, as well as
38 coordinating the allocation of resources under that agreement.
- 39
40 • Invoking and administering EMAC and other compacts and agreements, and
41 coordinating the allocation of resources that are made available to and from other
42 States.
- 43

44 **Requesting Federal Assistance.** When an incident overwhelms State and mutual aid
45 resources, the Governor may request Federal assistance. In such cases, the affected
46 community, State and Federal Government will collaborate to provide the necessary
47 assistance. The Federal Government may provide assistance in the form of funding,
48 resources and critical services. **Federal departments and agencies respect the**
49 **sovereignty and responsibilities of community, State and tribal governments while**
50 **rendering assistance.** The intention of the Federal Government in these situations is not
51 to command the incident response, but rather to support the affected community, tribal
52 and/or State governments.

53

⁵ For more detail about EMAC, see <http://www.emacweb.org/>.

Robert T. Stafford Disaster Relief and Emergency Assistance Act. When it is clear that State or tribal capabilities will be exceeded or exhausted, the Governor can request Federal assistance, including assistance under the **Robert T. Stafford Disaster Relief and Emergency Assistance Act** (Stafford Act).⁶

The Stafford Act authorizes the President to provide financial and other forms of assistance to State and local governments, certain private nonprofit organizations and individuals to support response, recovery and mitigation efforts following Presidential emergency or disaster declarations.

The Stafford Act is triggered by any catastrophe (i.e., fire, flood, explosion, earthquake), regardless of cause, which brings about damage of sufficient severity and magnitude to warrant Federal disaster assistance to supplement the efforts and available resources of States, local governments and disaster relief organizations in alleviating the damage, loss, hardship or suffering.

Stafford Act—More Than Natural Disasters

The Robert T. Stafford Act is triggered by any catastrophe (e.g., fire, flood, explosion, epidemic), regardless of cause, which brings about damage of sufficient severity and magnitude to warrant Federal disaster assistance to supplement the efforts and available resources of States, local governments and disaster relief organizations in alleviating the damage, loss, hardship or suffering.

The forms of public assistance typically flow either from a disaster declaration or an emergency declaration.⁷ A **major disaster** could result from a hurricane, earthquake, flood, tornado or major fire which the President determines warrants supplemental Federal aid. The event must be clearly more than State or local governments can handle alone. If declared, funding comes from the President's Disaster Relief Fund, which is managed by FEMA, and disaster aid programs of other participating Federal departments and agencies. A **Presidential major disaster declaration** puts into motion long-term Federal recovery programs, some of which are matched by State programs, and designed to help disaster victims, businesses and public entities. An **emergency declaration** is more limited in scope and without the long-term Federal recovery programs of a major disaster declaration. Generally, Federal assistance and funding are provided to meet a specific emergency need or to help prevent a major disaster from occurring.

Requesting a Presidential Declaration. Most incidents are not of sufficient magnitude to merit a Presidential emergency or major disaster declaration. However, when State and local resources are insufficient, **a Governor may ask the President to declare a Federal disaster or emergency.** Before making a declaration request, the Governor must activate the State's emergency plan and ensure that all appropriate State and local actions have been taken, including:

- Surveying the affected areas to determine the extent of private and public damage.
- Conducting joint preliminary damage assessments with FEMA officials to estimate the types and extent of Federal disaster assistance required.

⁶ Details regarding Federal involvement under the Stafford Act are available at the **NRF Resource Center**, <http://www.fema.gov/NRF>. Additional information about the Stafford Act's disaster process and disaster aid programs is available at <http://www.fema.gov/hazard/dproc.shtm>.

⁷ The Stafford Act defines an **emergency** as "any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States." A **major disaster** is defined as "any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought), or, regardless of cause, any fire, flood, or explosion in any part of the United States, which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance under this Act to supplement the efforts and available resources of States, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby."

- Consulting with the FEMA Regional Administrator on Federal disaster assistance eligibility, and advising the FEMA regional office if a Presidential declaration will be requested.

Only a Governor can initiate a request for a Presidential emergency or major disaster declaration. This **request is made through the FEMA Regional Administrator** and is based on a finding that Federal assistance is needed because the situation exceeds State and local response capabilities due to its severity and magnitude. The request should include:

- Information on the extent and nature of State resources that have been or will be used to address the consequences of the disaster.
- A certification by the Governor that State and local governments will assume all applicable non-Federal costs required by the Stafford Act.
- An estimate of the types and amounts of supplementary Federal assistance required.
- Designation of a State Coordinating Officer.

The completed request, addressed to the President, should be sent to the FEMA Regional Administrator, who evaluates the damage and requirements for Federal assistance and make a recommendation to the FEMA Administrator. **The FEMA Administrator, acting through the Secretary of Homeland Security, may then recommend a course of action to the President.** The Governor, appropriate Members of Congress and Federal departments and agencies are immediately notified of a Presidential declaration.

Federal Assistance Available Without a Presidential Declaration. In many cases, disaster assistance may be obtained from the Federal Government and NGOs without a Presidential declaration. For example, FEMA places liaisons in State EOCs and moves commodities to sites near incident sites that may require Federal assistance prior to a Presidential declaration. Additionally, some types of assistance, such as Fire Management Assistance Grants – which provide support to States experiencing severe wildfires – are performed by Federal departments or agencies under their own authorities and do not require Presidential approval. Finally, Federal departments and agencies may provide immediate lifesaving assistance to States under their own statutory authorities without a formal Presidential declaration.

Proactive Federal Response to Catastrophic Events. Prior to and during catastrophic events, especially for those which occur without notice, the Federal Government may take proactive measures to mobilize and deploy assets in anticipation of a request from a State. Protocols for proactive Federal response are most likely to be implemented for catastrophic events involving chemical, biological, radiological, nuclear or high-yield explosive weapons of mass destruction, or large-magnitude earthquakes or other natural or technological disasters in or near heavily populated areas. Proactive Federal response protocols are used to ensure that Federal response resources reach the scene in a timely manner despite any disruption to normal function of State or local governments.

4. DEMOBILIZE

Demobilization is the orderly, safe and efficient return of an incident resource to its original location and status. Demobilization should begin as soon as possible to facilitate accountability of the resources and be fully coordinated with other incident management and response structures.

Actions. At the community and State levels, demobilization planning and activities should include:

- Provisions to address and validate the safe return of resources to their original locations.
- Processes for tracking resources and ensuring applicable reimbursement.
- Steps to ensure responder safety.
- Accountability for compliance with mutual aid provisions.

RECOVER

Once immediate lifesaving activities are complete, the focus shifts to assisting individuals, families and businesses in meeting basic needs and returning to self-sufficiency. Recovery is the development, coordination and execution of service- and site-restoration plans for affected communities, and the resumption of government operations and services through individual, private-sector, nongovernmental and public assistance programs. Such programs:

- Identify needs and resources.
- Provide housing and promote restoration.
- Address care and treatment of affected persons.
- Inform residents and prevent unrealistic expectations.
- Implement additional measures for community restoration.
- Incorporate mitigation measures and techniques, as feasible.

Even as the immediate imperatives for response to an incident are being addressed, the need to begin recovery operations emerges. In an almost imperceptible evolution, the emphasis upon response will give way to recovery operations and, if applicable, hazard mitigation. Within recovery, actions are taken to help individuals, communities and the nation return to normal. Depending on the complexity of this phase, recovery and cleanup efforts involve significant contributions from all sectors of our society.

Short-term recovery is immediate and overlaps with response. It includes such actions as providing essential public health and safety services, restoring interrupted utility and other essential services, reestablishing transportation routes and providing food and shelter for those displaced by the disaster. Although called “short term,” some of these activities may last for weeks.

1 **Long-term recovery**, which is outside the scope of the *Framework*, may involve some of
2 the same actions but may continue for a number of months or years, depending on the
3 severity and extent of the damage sustained. For example, long-term recovery may include
4 the complete redevelopment of damaged areas.
5

6 **Actions.** Recovery from disaster is unique to each community and depends on the amount
7 and kind of damage caused by the disaster and the resources that the community has ready
8 or can quickly obtain. In the short term, recovery is an extension of the response phase in
9 which basic services and functions are restored. In the long term, recovery is a restoration
10 of both the personal lives of individuals and the livelihood of the community.
11

DRAFT